

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of : Steven M.H. WALLMAN  
Serial No. : 09/038,158  
Filed : 11 March 1998  
For : METHOD AND APPARATUS FOR ENABLING  
SMALLER INVESTORS OR OTHERS TO CREATE  
AND MANAGE A PORTFOLIO OF SECURITIES OR  
OTHER ASSETS OR LIABILITIES ON A COST-  
EFFECTIVE BASIS  
Group Art Unit : 2773

ASSISTANT COMMISSIONER  
FOR PATENTS  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97 & § 1.98**

S I R:


In accordance with Applicants' duty of disclosure under 37 C.F.R. §1.56(a) and §1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

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Registration No. 40,014

Date: June 9, 2000

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**FACSIMILE COVER SHEET**

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INVENTOR(S): Steven M. H. WALLMAN

SERIAL NO.: 09/038,158

FILED: March 11, 1998

TITLE: METHOD AND APPARATUS FOR ENABLING SMALLER  
INVESTORS OR OTHERS TO CREATE AND MANAGE A  
PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES  
ON A COST-EFFECTIVE BASIS

PAPERS FILED:

1. INFORMATION DISCLOSURE STATEMENT;  
PTO FORM 1449 (64 REFERENCES).



Michael Haynes/jl

10392/46001

June 9, 2000